

This Page Is Inserted by IFW Operations
and is not a part of the Official Record

BEST AVAILABLE IMAGES

Defective images within this document are accurate representations of the original documents submitted by the applicant.

Defects in the images may include (but are not limited to):

- BLACK BORDERS
- TEXT CUT OFF AT TOP, BOTTOM OR SIDES
- FADED TEXT
- ILLEGIBLE TEXT
- SKEWED/SLANTED IMAGES
- COLORED PHOTOS
- BLACK OR VERY BLACK AND WHITE DARK PHOTOS
- GRAY SCALE DOCUMENTS

IMAGES ARE BEST AVAILABLE COPY.

**As rescanning documents *will not* correct images,
please do not report the images to the
Image Problem Mailbox.**



SDS

C. Burns

12

10/29/03
10/29/03

**FORM PTO-1440 (modified)
LIST OF PATENTS AND
PUBLICATIONS FOR APPLICANT'S
INFORMATION DISCLOSURE
STATEMENT**

ATTY DOCKET NO. 89-VIB (cont) SERIAL NO. Serial no. 09/750,480

APPLICANT: Mitchell R. Swartz

FILING DATE:
12/28/00

GROUP:
3641

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE
AA						
AB						
AC						

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANS LATOR
AD						

OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)

AE	Arata Y, Zhang Y-C; Fusion Technol. 18 (1990) 95. Achievement of an intense cold fusion reaction.
AF	Bass "CETI 1.3 kilowatt reactor demonstrated", Cold Fusion Times, 4, 1, 4 (1996)
AG	Beauette, Paxton Lectureship - CF and the Press, Cold Fusion Times, 1, 4, 5 (1994)
AF	Beauette, TORCH, 66, 3-7, (1993)
AG	Biberian, Excess Heat in AlLaO ₃ Doped with D", ICCF-5 Proceedings, Monaco, 49-56 (1995)
AH	Bishop "Scientist Press Search for CF" Wall Street Journal, 7/14/94 pg 1
AI	Bishop, "It aint over till its over .. Cold Fusion", Popular Science, August 1993, 47
AJ	Bishop, US Research Claims to Replicate Japanese Experiment, Wall Street Journal, 7/27/92
AK	Bittner, et alia, "Evidence for the Production of d-d Fusion Neutrons ... ", Fusion Technology, 19, 2119, (91)

EXAMINER Examiner: Palabrica, R.J. **DATE CONSIDERED**

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP-609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.

RECEIVED
OCT 29 2000
GROUP 3641



FORM PTO-1440 (modified)
LIST OF PATENTS AND
PUBLICATIONS FOR APPLICANT'S
INFORMATION DISCLOSURE
STATEMENT

ATTY DOCKET NO. **SERIAL NO.** ATTY DOCKET NO.
89-VIB (cont) Serial no. 09/750, 480
APPLICANT: Mitchell R. Swartz
FILING DATE: 12/28/00 **GROUP:** 3641

REFERENCE DESIGNATION			U.S. PATENT DOCUMENTS			
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILED DATE
AA						
AB						
AC						

FOREIGN PATENT DOCUMENTS

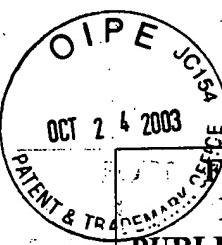
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION
AD						

OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)

AE	Bockris JO'M; Fusion Technol. 18 (1990) 523.'A review of the investigations of the Fleischmann-Pons phenomena'.
AF	Bush, et al; Nuclear Products Helium Commensurate to Heat Generation, Abstract ICCF-6 P-079 (1996)
AG	Bush, R. D. Eagleton, "Evidence for Electrolytically Induced Transmutation and Radioactivity Correlated with Excess Heat in Electrolytic Cells with Light Water Rubidium Salt Electrolytes," Transactions of Fusion Technology, 26, 431-441, (Dec. 1994)
AF	Bush RT; Fusion Technol. 19 (1991) 313.Cold 'fusion'. The transmission resonance model fits data on excess heat; predicts optimal trigger points, and suggests nuclear reaction scenarios.
AG	Bush BF, Lagowski JJ, Miles MH, Ostrom GS; J. Electroanal. Chem. 304 (1991) 271.Helium production during the electrolysis of D2O in cold fusion experiments.
AH	Celani F, Spallone A, Tripodi P, Cold Fusion Times 5, 1 (1997) High Power microsecond pulse electrolysis: Anomalous Excess Heat, Cold Fusion Times, 5, 1 (1997)
AI	Celani F, Spallone A, Tripodi P, Fusion Technol. 29 (1996) 398.Reproducible D/Pd ratio > 1 and excess heat correlation by 1-microsec-pulse, high-current electrolysis.
AJ	Celani F, Spallone A, Fusion Technol. 17 (1990) 718.Further measurements on electrolytic cold fusion with D2O and palladium at Gran Sasso Laboratory.
AK	G.Cerofolini, et alia, Fusion Technology, 23, 465-469 (1993); Giant Neutron Trapping by a Molecular Species Produces During the Reaction of D+ with H- in a Condensed Phase

EXAMINER Examiner: Palabrica, R.J **DATE CONSIDERED**

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.



FORM PTO-1440 (modified)
LIST OF PATENTS AND
PUBLICATIONS FOR APPLICANT'S
INFORMATION DISCLOSURE
STATEMENT

ATTY DOCKET NO: 4.1 SERIAL NO.
 89-VIB (cont) Serial no. 09/750, 480

APPLICANT: Mitchell R. Swartz

FILING DATE: 12/28/00 GROUP: 3641

REFERENCE DESIGNATION		U.S. PATENT DOCUMENTS				
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE
AA						
AB						
AC						

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION
AD						

OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)

AE							Chandler, Making the case for CF;, Boston Globe, page 7 (4/17/92)
AF							Chene, Brass J. Electroanal Chem 280, 199-205 (90) "Tritium Production .."
AG							Chubb, S.R. Chubb, "Role of Hydrogen Ion Band States", Trans Fusion Technology, vol26, 414-426 (1994).
AF							Chubb, And S.R.Chubb, "Ion Band States: What They Are", Cold Fusion Source Book, ibid., 75, (1994)
AG							Chubb, S.R. Chubb, "Bloch-Symmetric Fusion in PdDx", Fusion Technology, 17, 710 (1990).
AH							Cignini, et alia, "Xray, Heat Excess and 4He in Electrochemical Confinement of D in Pd, ICCF-6
AI							Clarke, "2001: The coming Age of Hydrogen Power", COLD FUSION, 1, 1, 10-13 (1994)
AJ							Clarke, "2001: The coming Age of Hydrogen Power", Cold Fusion TImes, 1, 2, pp1,3, 8 (1993)
AK							Claytor et alia, Tritium Production from Pd and Pd alloys", Abstract ICCF-6 O-031 (1996)

EXAMINER Examiner: Palabrica, R.J. **DATE CONSIDERED**

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.



FORM PTO-1440 (modified)
LIST OF PATENTS AND
PUBLICATIONS FOR APPLICANT'S
INFORMATION DISCLOSURE
STATEMENT

ATTY DOCKET NO. 89-VIB (cont)	SERIAL NO. Serial no. 09/ 750, 480
APPLICANT: Mitchell R. Swartz	
FILING DATE: 12/28/00	GROUP: 3641

REFERENCE DESIGNATION			U.S. PATENT DOCUMENTS			
EXAMINER INITIAL	DOCUMENT NUMBER	DAT	NAME	CLASS	SUB CLASS	FILING DATE
AA						
AB						
AC						

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION
AD						

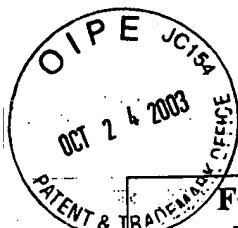
OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)

AE	Claytor et alia, Tritium Production from a Low Voltage Deuterium Discharge", Cold Fusion Times, 4, 3, pp 7-9 (1996)
AF	Cravens, "Comments on Steve Jones' Theory on Recombination", Cold Fusion Times, 4, 2, 9 (1996)
AG	Deninio, et alia, Europhysics Letters, 9 (3), 221-224 (1989)
AF	EPRI Report Summary, "Development of Advanced Concepts for Nuclear Process in Deuterated Metals", Cold Fusion Times, 4, 3, pp1,7 (1996)
AG	Fleischmann M, Pons S; Cold Fusion Times, 1, 3, pp1,2,6,8,10 (1993), "Response to Critique of Physics Letter A Paper"
AH	Fleischmann M, Pons S; Some comments on the paper Analysis of experiments on the calorimetry of LiOD-D2O electrochemical cells, R.H. Wilson et al., J. Electroanal. Chem. 332 (1992) 1.
AI	Fox, Summary of 2nd LENR Conf, Fusion Facts, (1996)
AJ	Fox, Cold Fusion Impact, ISBN 096349780-7, (1992)
AK	Gozzi D, Cignini PL, Petrucci L, Tomellini M, De Maria G, Frullani S, Garibaldi F, Ghio F, Jodice M, Tabet E; J. Fusion Energy 9 (1990) 241.Nuclear and thermal effects during electrolytic reduction of deuterium at palladium cathode.

EXAMINER Examiner: Palabrica, R.J.

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.



FORM PTO-1440 (modified)
LIST OF PATENTS AND
PUBLICATIONS FOR APPLICANT'S
INFORMATION DISCLOSURE
STATEMENT

ATTY DOCKET NO.	SERIAL NO.
89-VIB (cont)	Serial no. 09/750, 480
APPLICANT: Mitchell R. Swartz	
FILING DATE:	GROUP:
12/28/00	3641

REFERENCE DESIGNATION			U.S. PATENT DOCUMENTS				
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE
	AA						
	AB						
	AC						

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION
	AD						

OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)

	AE							Gozzi D, et al, IL Nuovo Cimento, 103A, 143-154 (1990) Evidences for Heat Generation ...". Fusion Energy 9 (1990) 241.Nuclear and thermal effects during electrolytic reduction of deuterium at palladium cathode.
	AF							Hagelstein, "Lattice-Induced Atomic and Nuclear Reactions", Vol. 1, Proceedings: "Fourth International Conference on Cold Fusion", December (1994).
	AG							Hagelstein PL; Cold Fusion Times, 1, 1, 1-8 (1993) Summary of the Third Int Conf on CF (ICCF3)
	AF							Hagelstein PL; J. Fusion Energy 9 (1991) 451.
	AG.							Hagelstein, "Coherent Fusion Theory", J. of Fusion Energy, 9, 451, (1990); P. Hagelstein, S. Kaushik, "Neutron Transfer Reactions"
	AH							Hoffman, Review of Taubes, Fusion Technology, 25, 224-227 (1994)
	AI							Hora et alia, "Screening in cold fusion derived from D-D reactions", Physics Letters A, 175, 138-143 (1993).
	AJ							Huggins, "CF Conference gathers fuel for thought", COLD FUSION, 1, 1, 36-42 (1994)
	AK							Itoh et alia, "Observation of Nuclear Products un Vacuum Condition..", ICCF-5 Proceedings, Monaco, 189-196 (1995)

EXAMINER Examiner: Palabrica, R.J **DATE CONSIDERED**

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.



OCT 24 2003

FORM PTO-1440 (modified)
LIST OF PATENTS AND
PUBLICATIONS FOR APPLICANT'S
INFORMATION DISCLOSURE
STATEMENT

ATTY/DOCKET NO.	SERIAL NO.
89-VIB (cont)	Serial no. 09/750, 480
APPLICANT:	Mitchell R. Swartz
FILING DATE:	GROUP:
12/28/00	3641

REFERENCE DESIGNATION			U.S. PATENT DOCUMENTS			
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE
AA						
AB						
AC						

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION
AD						

OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)

AE	Gozzi D, et al, IL Nuovo Cimento, 103A, 143-154 (1990) Evidences for Heat Generation ...". Fusion Energy 9 (1990) 241.Nuclear and thermal effects during electrolytic reduction of deuterium at palladium cathode.
AF	Hagelstein, "Lattice-Induced Atomic and Nuclear Reactions", Vol. 1, Proceedings: "Fourth International Conference on Cold Fusion", December (1994).
AG	Hagelstein PL; Cold Fusion Times, 1, 1, 1-8 (1993) Summary of the Third Int Conf on CF (ICCF3)
AF	Hagelstein PL; J. Fusion Energy 9 (1991) 451.
AG.	Hagelstein, "Coherent Fusion Theory", J. of Fusion Energy, 9, 451, (1990); P. Hagelstein, S. Kaushik, "Neutron Transfer Reactions"
AH	Hoffman, Review of Taubes, Fusion Technology, 25, 224-227 (1994)
AI	Hora et alia, "Screening in cold fusion derived from D-D reactions", Physics Letters A, 175, 138-143 (1993).
AJ	Huggins, "CF Conference gathers fuel for thought", COLD FUSION, 1, 1, 36-42 (1994)
AK	Itoh et alia, "Observation of Nuclear Products un Vacuum Condition..", ICCF-5 Proceedings, Monaco, 189-196 (1995)

EXAMINER Examiner: Palabrica, R.J **DATE CONSIDERED**

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.



FORM PTO-1440 (modified)
LIST OF PATENTS AND
PUBLICATIONS FOR APPLICANT'S
INFORMATION DISCLOSURE
STATEMENT

ATTY DOCKET NO. **89-VIB (cont)** SERIAL NO. **Serial no. 09/750, 480**

APPLICANT: **Mitchell R. Swartz**

FILING DATE: **12/28/00**

GROU**P 3641**

REFERENCE DESIGNATION		U.S. PATENT DOCUMENTS					
EXAMINER INITIAL	DOCUMENT NUMBER	DAT	NAME	CLASS	SUB CLASS	FILED DATE	
AA							
AB							
AC							

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION
AD						

OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)

AE	Iwamura et al, "Observations of Anomalous Nuclear Effects in D2-Pd System", Trans Fusion Technology, vol26, 160-164 (1994)
AF	Jin, "Deuterium Absorbability and Anomalous Nuclear Effect of YBCO HTSC", Fusion Technology, 26, 4T, 427-430 (December 1994)
AG	Jin, "Deuterium Absorbability and Anomalous Nuclear Effect of YBCO HTSC", abstract in Cold Fusion Times, 2, 1, p7 (1994)
AF	Johnson, Keith, "Jahn Teller Symmetry in CF as storage of the Latent Heat of Water", Fusion Technology, 26, 4T, 527-529 (December 1994)
AG	Karabut "Nuclear Product Ratio", Phys Letters A 170, 265-272 (1992)
AH	Kim, Zubarev "Gamow factor cancellation and Mechanisms", JNE1,3, 145-154 (96)
AI	Kim, Zubarev "Uncertainties of Conventional Theories and New Improved Formulations", ICCF-5 Proceedings, Monaco, 293-314 (1995)
AJ	Kim, Zubarev, Improved Coulomb Barrier Transmission", Fusion Technology, July 1994, 25, 475
AK	Kim, Zubarev "Reaction Barrier Transparency" Trans Fusion Technology, vol26, 408-413 (1994)

EXAMINER Examiner: Palabrica, R.J.

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.


FORM PTO-1440 (modified)
**LIST OF PATENTS AND
PUBLICATIONS FOR APPLICANT'S
INFORMATION DISCLOSURE
STATEMENT**
**ATTY DOCKET NO.
89-VIB (cont)**
**SERIAL NO.
Serial no. 09/750,480**
APPLICANT: Mitchell R. Swartz
**FILING DATE:
12/28/00**
**GROUP:
3641**

REFERENCE DESIGNATION			U.S. PATENT DOCUMENTS				
EXAMINER INITIAL		DOCUMENT NUMBER	DAT	NAME	CLASS	SUB CLASS	FILING DATE
	AA						
	AB						
	AC						

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION
	AD						

OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)

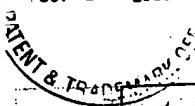
	AE						Li, Excess Heat in D/Pd Gas-Loading, Cold Fusion Times, 5, 1, p3 (1997)
	AF						Li "Normal Temperature Fusion in China", Cold Fusion Times, 4, 3, pp10,5 (1996)
	AG						Li et al, "solving the Puzzle of Excess Heat", ICCF-5 Proceedings, Monaco, 285-292 (1995)
	AF						Lonchampt, et alia, "Reproduction of FP Experiments", Cold Fusion Times, 5, 1, page 10 (1997).
	AG						Lonchampt, et alia, "Reproduction of FP Experiments", Abstract ICCF-6 O-044(1996)
	AH						Mallove, "Fire from Ice", chapter 15 (1992)
	AI						Mallove, "Helium-4 Generation from Ultrasound", Cold Fusion Times, 3, 1, p7 (1995)
	AJ						Mallove, "Cold Fusion", Cold Fusion, 1, 1, pages 4-6 (1994)
	AK						Mallove, "Publishing Fiasco of the Century", COLD FUSION, 1, 1, 90-93 (1994)

EXAMINER Examiner: Palabrica, R.J

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.

OCT 24 2003



FORM PTO-1440 (modified)
LIST OF PATENTS AND
PUBLICATIONS FOR APPLICANT'S
INFORMATION DISCLOSURE
STATEMENT

ATTY DOCKET NO. **89-VIB (cont)** SERIAL NO.
Serial no. 09/750, 480

APPLICANT: **Mitchell R. Smitz**

FILING DATE:
12/28/00

GROUP
364

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DAT	NAME	CLASS	SUB CLASS	FILED DATE
	AA						
	AB						
	AC						

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION
	AD						

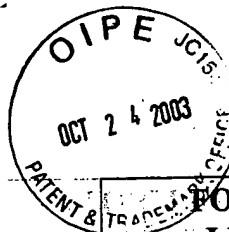
OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)

AE							Malllove, "Brief Review of the History of CF", Cold Fusion Times, 1, 1, (1993)
AF							Malllove, Rothwell, "Overview of the Subject of Cold Fusion", Cold Fusion Times, 1, 3, pp 4,5 (1993)
AG							Malllove, "Report of Important Meeting with US Congress", Cold Fusion Times, 1, 3, pp 1,4,8 (1993)
AF							Malllove, "CF and Alternative Energy at US Congressional Hearing", Cold Fusion Times, 1, 2, pp 1,2,4,8 (1993)
AG							Matsumoto T, Fusion Technol. 22, 164 (1992); Observation of heavy elements produced during explosive cold fusion.
AH							Matsumoto, "Nattoh Model for Cold Fusion", Fusion Technology 16, 532 (1989).
AI							McKubre MCH, Crouch-Baker S, et alia, Concerning Reproducibility of Excess Power Production", ICCF-5 Proceedings, Monaco, 17-33 (1995)
AJ							McKubre MCH, Crouch-Baker S, Rocha-Filho RC, Smedley SI, Tanzella FL, Passell TO, Santucci J, J. Electroanal. Chem. 368 (1994) 55. Isothermal flow calorimetric investigations of the D/Pd and H/Pd systems.
AK							McKubre MCH, Crouch-Baker S, Rocha-Filho RC, Smedley SI, Tanzella FL, Isothermal flow calorimetric investigations of the D/Pd, 2nd Int Conference COMO (1991)

EXAMINER Examiner: Palabrica, R.J.

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or-not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to



FORM PTO-1440 (modified)
LIST OF PATENTS AND
PUBLICATIONS FOR APPLICANT'S
INFORMATION DISCLOSURE

STATEMENT

ATTY DOCKET NO:
 89-VIB (cont)

SERIAL NO.
 Serial no. 09/750, 480

APPLICANT: Mitchell R. Swartz

FILING DATE:
 12/28/00

GROUP:
 3,641

RECD BY 3600
 OCT 24 2003

REFERENCE DESIGNATION			U.S. PATENT DOCUMENTS				
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE
	AA						
	AB						
	AC						

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION
	AD						

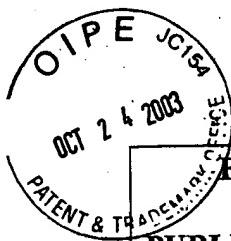
OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)

	AE							McNally, Possibl of Nuclear Mass Energy Resonance", Fusion Technology, 16, 237-239 (89)
	AF							Melich, M., W.N. Hansen, "Some Lessons from 3 Years of Electrochemical Calorimetry", Proceedings of the "Fourth International Conference on Cold Fusion" Maui, sponsored by EPRI and the Office of Naval Research, December (1993).
	AG							Menlove HO, Miller MC; Nucl. Instr. Methods Phys. Res. A299 (1990) 10.
	AF							Menlove HO, Fowler MM, Garcia E, Mayer A, Miller MC, Ryan RR, Jones SE, The measurement of neutron emission from Ti plus D2 gas, J. Fusion Energy 9 (1990) 215.
	AG							Miles, et al. Heat and Helium Measurement Using Pd and Pd Alloys, Cold Fusion Times, 5, 1 (1997)
	AH							Miles, et al. Anomalous Effect in Deuterated Systems, Cold Fusion Times, 5, 1, p5 (1997)
	AI							letter from Miles/Jones
	AJ							Miles, et al. Heat and Helium Measurement Using Pd and Pd Alloys in Heavy Water (1996) ICCF6 abstract O-004
	AK							Miles MH, Bush BF, Stilwell DE; J. Phys. Chem. 98 (1994) 1948. Calorimetric principles and problems in measurements of excess power during

EXAMINER Examiner: Palabrica, R.J.

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.



FORM PTO-1440 (modified)
LIST OF PATENTS AND
PUBLICATIONS FOR APPLICANT'S
INFORMATION DISCLOSURE
STATEMENT

ATTY DOCKET NO. 66
 89-VIB (cont) Serial No. 09/750,480

APPLICANT: Mitchell R. Swartz

FILING DATE:
 12/28/00

GROUP:

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301

301



FORM PTO-1440 (modified)
LIST OF PATENTS AND
PUBLICATIONS FOR APPLICANT'S
INFORMATION DISCLOSURE
STATEMENT

ATTY DOCKET NO.

89-VIB (cont)

SERIAL NO.

Serial no. 09/750, 480

APPLICANT: Mitchell R. Swartz

FILING DATE:

12/28/00

GROUP:

3641

REFERENCE DESIGNATION			U.S. PATENT DOCUMENTS				
EXAMINER INITIAL		DOCUMENT NUMBER	DAT	NAME	CLASS	SUB CLASS	FILING DATE
	AA						
	AB						
	AC						

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION
	AD						

OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)

	AE			Mizuno, et al, Isotopic Distribution of Elements Evolved in Pd Cathode, Abstract ICCF-6 TS-003 (1996)			
	AF			Mizuno et alia, "Isotopic Changes of the Reaction Products Induced ... in Pd", JNE1,3, 31-45 (96)			
	AG			Mizuno T, Akimoto T, Azumi K, Kitaichi M, Kurokawa K, Fusion Technol. 29 (1996) 385. Anomalous heat evolution from a solid-state electrolyte under alternating current in high-temperature D2 gas.			
	AF			Mizuno, et al, Anomalous Heat Evolution from SrCeO3-Type Proton Conductors, Cold Fusion Times, 1, 4, 9 (1994)			
	AG			Niedra, et alia, Replication of ... light water Nickel" NASA Memorandum 107167 (1996)			
	AH			Niedra, et alia, Replication of Apparent Excess Heat Effect", reviewed in Cold Fusion Times, 4, 3, pp5 (1996)			
	AI			Nobel, Dash, et al, "Electrolysis of Heavy Water with Pd and Sulfate Composite", ICCF-5 Proceedings, Monaco, 136-139 (1995)			
	AJ			Noninski VC, Noninski CI, Fusion Technol. 23 (1993) 474. Notes on two papers claiming no evidence for the existence of excess energy			
	AK			Notoya, R., Noya, Y., Ohnishi, T., "Tritium Generation and Large Excess Heat Evolution by Electrolysis in Light and Heavy Water-potassium Carbonate solutions with Nickel Electrodes", Fusion Technology, 26, 179-183, (1994)			

EXAMINER Examiner: Palabrica, R.J

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.



FORM PTO-1440 (modified)
LIST OF PATENTS AND
PUBLICATIONS FOR APPLICANT'S
INFORMATION DISCLOSURE
STATEMENT

ATTY DOCKET NO. 89-VIB (cont) Serial no. 09/750, 480
APPLICANT: Mitchell R. Swartz
FILING DATE: 12/28/00 **GROUP:** 501

DOCKET NO. 13-1031
 DATE 10/24/03

REFERENCE DESIGNATION			U.S. PATENT DOCUMENTS			
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILED DATE
AA						
AB						
AC						

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION
AD						

OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)

AE						Notoya, "Alkali-Hydrogen Cold Fusion Accompanied by Tritium Production on Nickel," Transactions of Fusion Technology, 26, 205-208 (Dec 1994).
AF						Notoya, R., "CF by electrolysis in light water potassium carboinate soution with a nickel electrode", Fusion Technology, 24, 202, (1993)
AG						Ogawa et alia, "Correlation of Excess Heat and Neutron Emission ..", ICCF6 abstract O-042(1996)
AF						Ohmori etal, Production Heavy metal elements", Abstract ICCF-6TS-004 (1996)
AG.						Ohmori, Mizuno, Enyo, JNE1,3, 90-99 (96), Isotopic Distributions of Heavy Metal Elements .. Gold Electrode"
AH						Oriani, Confirmation of Anomalous Thermal Power Generation", Abstract ICCF-6 O-036(1996)
AI						Oriani, "Take CF Seriously" Advises Chemist at IT", Cold Fusion Times, 3, 2, p2 (1995)
AJ						Perfetti P, Cillico F, Felici R, Capozi M, Ippoliti A; Nuovo Cimento Soc. Ital. Fis. D 11 (1989) 921.Neutron emission under particular nonequilibrium conditions from palladium and titanium electrolytically charged with deuterium.
AK						Pons S, Fleischmann M; Fusion Technol. 17 (1990) 669.Calorimetric measurements of the palladium/deuterium system: fact and fiction.

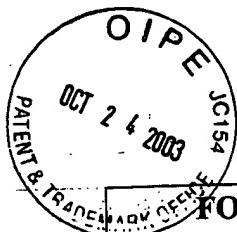
EXAMINER Examiner: Palabrida, R.J **DATE CONSIDERED**

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.



FORM PTO-1440 (modified)				ATTY DOCKET NO. 89-VIB (cont)	SERIAL NO. Serial no. 09/750, 480		
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT				APPLICANT: Mitchell R. Swartz			
				FILING DATE: 12/28/00	GROUP: 3641		
REFERENCE DESIGNATION			U.S. PATENT DOCUMENTS				
EXAMINER INITIAL		DOCUMENT NUMBER	DAT	NAME	CLASS	SUB CLASS	FILING DATE
	AA						
	AB						
	AC						
FOREIGN PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION
	AD						
OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)							
	AE			Rehn, Ahmad, Office Naval Research, NAVSO P-3580, 18, 1,			
	AF			Rice, et al, "Tole of Velocity Distribution in D D Fusion Technology, 18, 147 (90)			
	AG			Rothwell, "The business of Cold Fusion", Cold Fusion Times, 4, 2, pp6 and 9 (1995)			
	AF			Rothwell, "CF quietly takes off in Japan", COLD FUSION, 1, 1, 24-31 (1994)			
	AG			Rothwell, "CF in Japan", Cold Fusion Times, 1, 3, pp1,7,9 (1993)			
	AH			Rothwell, Mallove, "Report on Important Meeting with US Congress", Cold Fusion Times, 1, 3, pp1,4,8 (1993)			
	AI			Rothwell, "CF and History", Cold Fusion Times, 1, 2, pp6 (1993)			
	AJ			Rout, et al, "Detection of High Tritium Activity", Fusion Technology, 19, 391 (91)			
	AK			Samgin et alia, "Cold Fusion and anomalous effects in deuteron conductors", ICCF-5 Proceedings, Monaco, 201-208 (1995)			
EXAMINER Examiner: Palabrica, R.J.				DATE CONSIDERED			
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.							

REC'D
OCT 24 2003
GROUP 2
3641
3600


FORM PTO-1440 (modified)
**LIST OF PATENTS AND
PUBLICATIONS FOR APPLICANT'S
INFORMATION DISCLOSURE
STATEMENT**

 ATTY DOCKET NO.
89-VIB (cont)

 SERIAL NO:
Serial no. 09/750, 480

APPLICANT: Mitchell R. Swartz

 FILING DATE:
12/28/00

 GROUP:
3641

REFERENCE DESIGNATION
U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DAT	NAME	CLASS	SUB CLASS	FILING DATE
	AA						
	AB						
	AC						

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	TRANS CLASS	LATION
	AD						

OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)

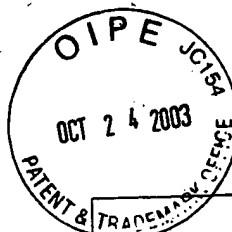
AE							Samgin et alia, "Influence of Conductivity" (1994)
AF							Sapogin, "Energy Generation Mechanism", Cold Fusion Times, 3, 2, p5 (1995)
AG							Savvatimova, Karabut, ICCF-5 Proceedings, Monaco, 209-212 (1995)
AF							Savvatimova, Karabut, "Cathode Material Change after Deuterium Glow Discharge Experiment", Trans Fusion Technology, vol26, 389-394 (1994)
AG							Schneider, "Rectangular Potential", Fusion Tech, 16, 377, (1989)
AH							Schwinger, "CF- does it have a Future?", COLD FUSION, 1, 1, 14-17 (1994)
AI							Scott CD, Mrochek JE, Scott TC, Michaels GE, Newman E, Petek M; Fusion Technol. 18 (1990) 103. Measurement of excess heat and apparent coincident increases in the neutron and gamma-ray count rates during the electrolysis of heavy water.
AJ							Srinivasan M; Curr. Sci. 60 (1991) 417. Nuclear fusion in an atomic lattice: An update on the international status of cold fusion research.
AK							Storms Tech Rev May 1994, "Cold Fusion Heats Up"

EXAMINER

Examiner: Palabrica, R.J

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.



FORM PTO-1440 (modified)
LIST OF PATENTS AND
PUBLICATIONS FOR APPLICANT'S
INFORMATION DISCLOSURE
STATEMENT

ATTY DOCKET NO.
480-Series I

SERIAL NO.
Serial no. 09/750,480

APPLICANT: Dr. Mitchell Swartz

FILING DATE:
Filed: 12/28/2000

GROUP:
3641

REFERENCE DESIGNATION			U.S. PATENT DOCUMENTS				
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE
							09/28/2000
							09/28/2000
							09/28/2000

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION
	AC						
	AD						

OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)

AR							Arazi, Experimental Observation of New Element Production in the Deuteride Glow-Discharge, COLD FUSION TIMES, 10, Number 1, 2003
AS							Arata, Achievement of Solid-State Plasma Fusion, Cold Fusion Times Fall 1997
AT							Asami, MATERIAL BEHAVIOR OF HIGHLY DEUTERATED PALLADIUM, The Seventh International Conference on Cold Fusion. 1998
AU							Bass, Theoretical and Experimental Results, TRANS. AMERICAN NUCLEAR SOCIETY, LOW-ENERGY NUCLEAR REACTIONS (2000)
AV							Beaudette, Charles G. EXCESS HEAT & Why Cold Fusion Research Prevailed, Second Edition, 2002, Oak Grove Press, LLC, ISBN 9-9678548-2-2
AX							Biberian, ELECTROLYSIS OF LaAlO ₃ SINGLE CRYSTALS AND CERAMICS IN A DEUTERIATED ATMOSPHERE, ICCF7
AY							Biberian, DEUTERIUM GAS LOADING OF PALLADIUM USING A SOLID STATE ELECTROLYTE, ICCF9. 2002
AZ							Biberian, Rapport sur L'International Conference on Cold Fusion ICCF9 Pékin, Chine 2002
EXAMINER: Examiner: Palabrica, R.J.				DATE CONSIDERED			

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.

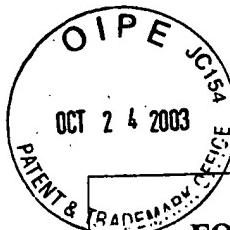
RECEIVED



FORM PTO-1440 (modified) LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT				ATTY DOCKET NO. 480-Series I	SERIAL NO. Serial no. 09/750, 480		
				APPLICANT: Dr. Mitchell Swartz			
				FILING DATE: Filed: 12/28/2000	GROUP: 3641		
REFERENCE DESIGNATION		U.S. PATENT DOCUMENTS					
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE
FOREIGN PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION
OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)							
AR				Bockris, TRIGGERING OF HEAT AND SUB-SURFACE CHANGES IN Pd-D SYSTEM Transactions of Fusion Technology, Vol. 26, No. 4T, Part 2, December 1994, p. 267.			
AS				Bockris, TWO ZONES OF "IMPURITIES" OBSERVED AFTER PROLONGED ELECTROLYSIS OF DEUTERIUM ON PALLADIUM, Infinite Energy, November 1995, (#5 & #6), p. 67.			
AT				Bockris, J. O™, The Battle Concerning Research on Cold Fusion at Texas A&M University, Accountability in Research, 2000. 8: p. 103			
AU				Cain, Carbonate Precipitates During Heat Evolution in FP-Type Cells, TRANS. AMERICAN NUCLEAR SOCIETY, (2000)			
AV				Celani et al, HIGH HYDROGEN LOADING INTO THIN PALLADIUM WIRES ... IN THE HEAVY WATER, (ICCF-8) May 21-26, 2000			
AX				Celani, Deuterium Overloading of Palladium Wires by Pulsed Electrolysis and Electromigration , Physics Letters A 214, 1-13, (1996)			
AY				Celani, F., Reproducible D/Pd Ratio >1 and Excess Heat Correlation by 1- μ S Pulse, High-Current Electrolysis, Fusion Technology 29, 398-404, (1996)			
AZ				Cellucci, F., et al. X-Ray, Heat Excess and 4He in the Electrochemical Confinement of Deuterium in Palladium. ICCF-6 Japan			
EXAMINER: Examiner: Palabrica, R.J.							
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.							

8 2003

QUP 3641



OCT 24 2003

FORM PTO-1440 (modified)

**LIST OF PATENTS AND
PUBLICATIONS FOR APPLICANT'S
INFORMATION DISCLOSURE
STATEMENT**

ATTY DOCKET NO.
480-Series I

SERIAL NO. AT
Serial no. 09/750, 480

APPLICANT: Dr. Mitchell Swartz

FILING DATE:
Filed: 12/28/2000

GROUP:
3641

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION

OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)

AR							Chien, Bockris, J. Electroanal. Chem. 338 (1992) 189-212, On an electrode producing massive quantities of tritium and helium
AS							Chubb, Chubb, Theoretical Framework for Anomalous Heat and 4He, COLD FUSION TIMES, Volume 10, Number 1, 2003 [ISSN # 1072-2874]
AT							Chubb, Theoretical Framework for Anomalous Heat Without High-Energy Particles, TRANS. AMERICAN NUCLEAR SOCIETY,(2000)
AU							Claytor, TRITIUM PRODUCTION FROM PALLADIUM ALLOYS, Proc. ICCF-7: p. 88.
AV							Cravens, Factors Affecting Success Rate of Heat Generation in CF Cells., Proc. ICCF-4
AX							Dash, Kopecek, EXCESS HEAT AND UNEXPECTED ELEMENTS FROM AQUEOUS ELECTROLYSIS WITH TITANIUM AND PALLADIUM CATHODES, Proc.32 nd Intersociety Energy Conversion Engineering Conference, vol. 2, pp. 1350-1355 (1997).
AY							DEBATE BETWEEN DOUGLAS MORRISON and STANLEY PONS & MARTIN FLEISCHMANN
AZ							Dufour, Experimental Observation of Nuclear Reactions in Palladium and Uranium, TRANS. AMERICAN NUCLEAR SOCIETY, (2000)
EXAMINER: Examiner: Palabrica, R.J.				DATE CONSIDERED			

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.



LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT				ATTY DOCKET NO. 480-Series I		SERIAL NO. Serial no. 09/750, 480	
				APPLICANT: Dr. Mitchell Swartz			
				FILING DATE: Filed: 12/28/2000		GROUP: 3641	
REFERENCE DESIGNATION		U.S. PATENT DOCUMENTS					
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE
FOREIGN PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANS FICATION
OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)							
	AR			Celani et alia, The Effect of g-b Phase on H(D)/Pd Overloading, ICCF7, Vancouver, Canada, 1998			
	AS			Fisher, Polyneutron Chain Reactions, TRANS. AMERICAN NUCLEAR SOCIETY, (2000)			
	AT			Goddard, Dash, Characterization of Uranium Codeposited with Hydrogen on Nickel Cathodes, TRANS. AMERICAN NUCLEAR SOCIETY, (2000)			
	AU			Hagelstein, Theory for Anomalies in Metal Deuterides, TRANS. AMERICAN NUCLEAR SOCIETY, (2000)			
	AV			Hagelstein, Anomalies in Metal Deuterides, COLD FUSION TIMES, Volume 10, Number 1, 2003			
	AX			Hora, Heinrich, Univ of New South Wales, Australia, George H. Miley, Univ of Illinois,			
	AY			IWAMURA, OBSERVATION OF LOW ENERGY NUCLEAR REACTIONS INDUCED BY D 2 GAS PERMEATION THROUGH PD COMPLEXES, Proc-ICCF-9			
	AZ			IWAMURA, Mitsubishi, Elemental Analysis of Pd Complexes: Effects of D2 Gas, Jpn. J. Appl. Phys. Vol. 41 (2002) pp. 4642-4650, Part 1, No. 7A, July 2002			
EXAMINER: Examiner: Palabrica, R.J.				DATE CONSIDERED			



OCT 24 2003

FORM PTO-1440 (modified)

**LIST OF PATENTS AND
PUBLICATIONS FOR APPLICANT'S
INFORMATION DISCLOSURE
STATEMENT**

ATTY DOCKET NO.
480-Series I

SERIAL NO.
Serial no. 09/750,480

APPLICANT: Dr. Mitchell Swartz

FILING DATE:
Filed: 12/28/2000

GROUP:
3641

U.S. PATENT DOCUMENTS

REFERENCE DESIGNATION		U.S. PATENT DOCUMENTS				
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS 360	SUB CLASS 303	FILING DATE

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION

OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)

AR	IWAMURA, DETECTION OF ANOMALOUS ELEMENTS, X-RAY AND EXCESS HEAT INDUCED BY CONTINUOUS DIFFUSION OF DEUTERIUM THROUGH MULTI-LAYER CATHODE (Pd/CaO/Pd), Proc-ICCF-7 p. 167.
AS	J. Kasagi, ANOMALOUSLY ENHANCED D(d,p)T REACTION IN Pd AND PdO OBSERVED AT VERY LOW BOMBARDING ENERGIES, Proc-ICCF-7
AT	Kelly, Low-Energy Nuclear Reactions of Protons in Host Metals at Picometre Distance, TRANS. AMERICAN NUCLEAR SOCIETY, (2000)
AU	Keeney, Jones, Evidence of Neutron Emissions from Fusion at Low Temperatures, APS & COLD FUSION TIMES, Volume 10, Number 1, 2003
AV	Kenny, Schultz, Hyper Gentle Fusion and Isotope Production, TRANS. AMERICAN NUCLEAR SOCIETY, (2000)
AX	Li, Resonant Tunneling in Low-Energy Nuclear Reactions, TRANS. AMERICAN NUCLEAR SOCIETY, (2000)
AY	Lonchampt, Reproduction of Fleischmann and Pons Experiments. Proc-ICCF-6.
AZ	Lonchampt, EXCESS HEAT MEASUREMENT WITH PONS AND FLEISCHMANN TYPE CELLS, Proc-ICCF-7 p. 202.

EXAMINER: Examiner: Palabrica, R.J.

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.



OCT 24 2003

FORM PTO-1440 (modified)

**LIST OF PATENTS AND
PUBLICATIONS FOR APPLICANT'S
INFORMATION DISCLOSURE
STATEMENT**

ATTY DOCKET NO. **480-Series I** SERIAL NO.
Serial no. 09/750,480

APPLICANT: Dr. Mitchell Swartz

FILING DATE: **Filed: 12/28/2000** GROUP:
3641

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SEARCH CLASS	FILING DATE
------------------	-----------------	------	------	-------	--------------	-------------

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SEARCH CLASS	TRANSLATION
------------------	-----------------	------	---------	-------	--------------	-------------

OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)

AR			Mallove, Preface and Prologue to the book Fire From Ice: Searching for the Truth Behind the Cold Fusion Furor 1991			
AS			Matsumoto, Generating Carbon Tubes and Films from Lead and Cadmium Wires During Underwater Spark Discharges, Trans. American Nuclear Society, (2000)			
AT			McKubre, Tanzella, Materials Issues Of Loading Deuterium Into Palladium And The Association With Excess Heat Production, Proc-ICCF-7 p. 230.			
AU			McKubre, Tanzella, Evidence of d-d Fusion Products in Experiments Conducted with Palladium at Near Ambient Temperatures, TRANS. AMERICAN NUCLEAR SOCIETY, (2000)			
AV			McKubre, et al., Development of Advanced Concepts for Nuclear Processes in Deuterated Metals, Electric Power Research Institute (EPRI), 1994.			
AX			McKubre, Closing Comments Summarizing The Status And Progress Of Experimental Studies, Proc-ICCF-9 2002			
AY			McKubre, ,The Emergence of a Coherent Explanation for Anomalies Observed in D/Pd and H/Pd System: Evidence for 4He and 3He Production. Proc-ICCF-8 2000.			
AZ			Melich, Hansen, Pd/D Calorimetry - The Key To The F/P Effect And A Challenge To Science, Transactions of FusionTechnology, Vol. 26, Number 4T, Part 2, December 1994; p. 355.			
EXAMINER: Examiner: Palabrica, R.J.			DATE CONSIDERED			

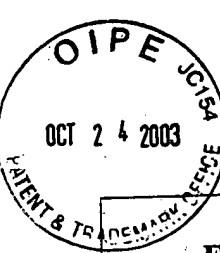
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.



FORM PTO-1440 (modified) LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT				ATTY DOCKET NO. 480-Series I	SERIAL NO. Serial no. 09/ 750, 480	
				APPLICANT: Dr. Mitchell Swartz		
				FILING DATE: Filed: 12/28/2000	GROUP: 3641	
REFERENCE DESIGNATION		U.S. PATENT DOCUMENTS				
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE
FOREIGN PATENT DOCUMENTS						
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION
OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)						
AR			Melich, Michael E., Wilford N. Hansen, Back to the Future The Fleischmann-Pons Effect (1994)			
AS			MILES, BUSH, Calorimetric Principles and Problems in Pd-D ₂ O Electrolysis, Proc-ICCF-3 1991. Nagoya, Japan: Universal Academy Press, Inc., Tokyo: p. 113.			
AT			Merriman, A critical Report of ILENR2, Cold Fusion Times Fall 1996			
AU			Miles, Szpak, THERMAL BEHAVIOR OF POLARIZED Pd/D ELECTRODES PREPARED BY CO-DEPOSITION, Proc-ICCF-9 2002.			
AV			Miles, Reply to Jones, Physical Chemistry B, 102, 3642			
AX			Miles, Imam, Fleischmann, Excess Heat and Helium Production in the Palladium-Boron System, TRANS. AMERICAN NUCLEAR SOCIETY, (2000)			
AY			Miles, M. B.F. Bush, Radiation Measurements at China Lake: Real or Artifacts?, Proc-ICCF-7 1998			
AZ			Miles, M., K.B. Johnson, and M.A. Imam. Electrochemical loading of hydrogen and deuterium into palladium and palladium-boron alloys. Proc-ICCF-6 1996.			
EXAMINER: Examiner: Palabrica, R.J.				DATE CONSIDERED		
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.						

OCT 28 2003

RECEIVED
GROUP 3600



OCT 24 2003

FORM PTO-1440 (modified)

**LIST OF PATENTS AND
PUBLICATIONS FOR APPLICANT'S
INFORMATION DISCLOSURE
STATEMENT**

ATTY DOCKET NO.
480-Series ISERIAL NO.
Serial no. 09/750, 480

APPLICANT: Dr. Mitchell Swartz

FILING DATE:
Filed: 12/28/2000GROUP
3641

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE
------------------	--	-----------------	------	------	-------	-----------	-------------

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION
------------------	--	-----------------	------	---------	-------	-----------	-------------

OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)

AR				Miles, NAWCWPNS TP 8302, ANOMALOUS EFFECTS IN DEUTERATED SYSTEMS, 1996, NAVAL AIR WARFARE CENTER
AS				Miles, THE ELEVATION OF BOILING POINTS IN H2O AND D2O ELECTROLYTES, The Ninth International Conference on Cold Fusion. 2002. Beijing, China: Tsinghua University.
AT				Miley, Some Personal Reflections on Scientific Ethics and the Cold Fusion "Episode", Accountability in Research, 2000. 8: p. 121
AU				Miley, Advances in Thin-Film Proton-Reaction Cell Experiments, TRANS. AMERICAN NUCLEAR SOCIETY, LOW-ENERGY NUCLEAR REACTIONS (2000)
AV				Miley, On the Reaction Product and Heat Correlation for LENRs, 8th International Conference on Cold Fusion. 2000. Lerici (La Spezia), Italy: Italian Physical Society, Bologna, Italy.
AX				Miley, Progress in thin film LENR Research. in The Ninth International Conference on Cold Fusion. 2002. Beijing, China.
AY				MIZUNO, Confirmation of heat generation and anomalous element caused
AZ				Mizuno, Neutronics, Heat and Products Induced by Plasma Electrolysis, TRANS. AMERICAN NUCLEAR SOCIETY, (2000)
EXAMINER: Examiner: Palabrica, R.J.				DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.



OCT 24 2003

FORM PTO-1440 (modified)

**LIST OF PATENTS AND
PUBLICATIONS FOR APPLICANT'S
INFORMATION DISCLOSURE
STATEMENT**

ATTY DOCKET NO. 480-Series I	SERIAL NO. Serial no. 09/750,480
---------------------------------	-------------------------------------

APPLICANT: Dr. Mitchell Swartz

FILING DATE: Filed: 12/28/2000	GROUP: 3641
-----------------------------------	----------------

U.S. PATENT DOCUMENTS

REFERENCE DESIGNATION		DATE	NAME	CLASS	SUB CLASS	FILING DATE
EXAMINER INITIAL	DOCUMENT NUMBER					

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION

OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)

AR						Mizuno, Experimental Confirmation of the Nuclear Reaction at Low Energy Caused by Electrolysis in the Electrolyte, Proceedings symposium on Advanced Research in Energy Technology 2000, pp. 95-106.
AS						Mizuno, Anomalous Isotopic Distribution after electrolysis, Cold Fusion Times Fall 1996
AT						Mizuno, Tadahiko, Nuclear Transmutation: The Reality of Cold Fusion, Department of Nuclear Engineering Hokkaido National University, Japan
AU						Mizuno, Tadahiko, Tadayoshi Ohmori, Tadashi Akimoto and Akito Takahashi, Production of Heat during Plasma Electrolysis in Liquid, Jpn. J. Appl. Phys. Vol.39 (2000)
AV						Mizuno, Relation Between Neutron Evolution And Deuterium Permeation With A Palladium Electrode, Proc-ICCF-9 2002.
AX						Oriani, R. A., J. C. Fisher, Generation of Nuclear Tracks during Electrolysis, Jpn. J. Appl. Phys. Vol. 41 (2002) pp. 6180-6183, Part1, No. 10, October 2002
AY						Oriani, R.A. Anomalous Heavy Atomic Masses Produced by Electrolysis. Proc-ICCF-7
AZ						Oriani, Richard A. Univ of Minnesota, John C. Fisher, Fisher, Anomalous Power Generation Produced by Stirring Water Solutions, TRANS. AMERICAN NUCLEAR SOCIETY, (2000)

EXAMINER: Examiner: Palabrica, R.J.

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.

RECEIVED
OCT 28 2003
CABUP 36001



FORM PTO-1440 (modified)

**LIST OF PATENTS AND
PUBLICATIONS FOR APPLICANT'S
INFORMATION DISCLOSURE
STATEMENT**

REFERENCE DESIGNATION

EXAMINER
INITIAL

DOCUMENT NUMBER

DATE

ATTY DOCKET NO.
480-Series I

SERIAL NO.
Serial no. 09/750,480

APPLICANT: Dr. Mitchell Swartz

FILING DATE:
Filed: 12/28/2000

U.S. PATENT DOCUMENTS

GROUP:
641

NAME CLASS SUB CLASS FILING DATE

FOREIGN PATENT DOCUMENTS

EXAMINER
INITIAL

DOCUMENT NUMBER

DATE

COUNTRY

CLASS

SUB CLASS

FILING DATE

TRANSLATION

OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)

Passell, T.O., Radiation data reported by Wolf at Texas A&M as transmitted by T. Passell. 1995, EPRI.

Pons, S., HEAT AFTER DEATH, Transactions of Fusion Technology, Vol. 26, Number 4T, Part 2, December 1994: p. 87.

Röthwei, ILENR2 Summary, Cold Fusion Times Fall 1996

Savvatimova, Reproducibility of Experiments in Glow Discharge and Processes Accompanying Deuterium ions Bombardment. Proc-ICCF-8 (2000)

Schwinger, Julian, Transactions of Fusion Technology, Vol. 26, Number 4T, Part 2, December 1994

Sinha, K. P. P. L. Hagelstein, MIT, Electron Screening in Metal Deuterides, TRANS. AMERICAN NUCLEAR SOCIETY, (2000)

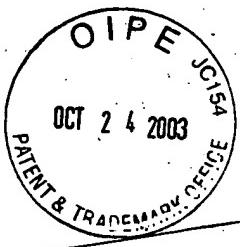
Storms, Edmund, COLD FUSION: An Objective Assessment

Storms, Edmund, Ways to Initiate a Nuclear Reaction in Solid Environments, American Physical Society Meeting, March 15, 2001

DATE CONSIDERED

EXAMINER: Examiner: Palabrica, R.J.

EXAMINER: Initial if reference considered; whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.



FORM PTO-1440 (modified)

LIST OF PATENTS AND
PUBLICATIONS FOR APPLICANT'S
INFORMATION DISCLOSURE
STATEMENT

REFERENCE DESIGNATION

EXAMINER
INITIAL

DOCUMENT NUMBER

DATE

NAME

CLASS

SUB
CLASS

FILING
DATE

ATTY DOCKET NO.
480-Series I

SERIAL NO.
Serial no. 09/750,480

APPLICANT: Dr. Mitchell Swartz

FILING DATE:
Filed: 12/28/2000

GROUP:
3641

U.S. PATENT DOCUMENTS

EXAMINER
INITIAL

DOCUMENT NUMBER

DATE

COUNTRY

CLASS

SUB
CLASS

TRAN-
SITION

FOREIGN PATENT DOCUMENTS

EXAMINER
INITIAL

DOCUMENT NUMBER

DATE

AR

Storms, RELATIONSHIP BETWEEN
OPEN-CIRCUIT-VOLTAGE AND HEAT
PRODUCTION IN A PONS-FLEISCHMANN
CELL, (ICCF-7). p.356.

AS

Storms, A Critical Evaluation of the
Pons-Fleischmann Effect (Part 1), Infinite Energy 6,
#31 (2000) 10

AT

Storms, The Nature of the
Nuclear-Active-Environment Required for Low
Energy Nuclear Reactions, Preprint to Infinite
Energy, July 2002

AU

Storms, EXCESS POWER PRODUCTION FROM
PLATINUM CATHODES USING THE
PONS-FLEISCHMANN EFFECT

AV

Swartz, Engineering to Control Noise, Loading, and
Optimal Operating Points, TRANS. AMERICAN
NUCLEAR SOCIETY, (2000)

AX

Swartz, Mitchell Patterns of Success
Szpak, S., P.A. Mosier-Boss, ON THE BEHAVIOR
OF THE CATHODICALLY POLARIZED PD/D
SYSTEM: SEARCH FOR EMANATING
RADIATION

AY

Szpak, S., P.A. Mosier-Boss,1 and R.D. Boss, ON
THE BEHAVIOR OF THE PD/D SYSTEM:
EVIDENCE FOR TRITIUM PRODUCTION

AZ

DATE CONSIDERED

EXAMINER: Examiner: Palabrica, R.J.

RECEIVED
OCT 28 2003
GRUJ 36001
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line
through citation if not in conformance and not considered. Include copy of form with next communication to applicant.



FORM PTO-1440 (modified)

**LIST OF PATENTS AND
PUBLICATIONS FOR APPLICANT'S
INFORMATION DISCLOSURE
STATEMENT**

REFERENCE DESIGNATION
EXAMINER INITIAL

DOCUMENT NUMBER

DATE

ATTY DOCKET NO.
480-Series I

SERIAL NO.
Serial no. 09/500,880

APPLICANT: Dr. Mitchell Szwarc

FILING DATE:
Filed: 12/28/2000

GROUP
3641

U.S. PATENT DOCUMENTS

NAME

CLASS

SUB
CLASS

FILING
DATE

FOREIGN PATENT DOCUMENTS

EXAMINER
INITIAL

DOCUMENT NUMBER

DATE

COUNTRY

CLASS

SUB
CLASS

TRANS
LATION

OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)

AR

Szpak, S. P. A. Mosier-Boss, TECHNICAL REPORT 1862, February 2002, Thermal and Nuclear Aspects of the Pd/D20 System; Volume 1

AS

Takahashi, Radiation-Less Fission Products by Selective Channel Low-Energy Photofission, TRANS. AMERICAN NUCLEAR SOCIETY, (2000)

AT

UCHIKAWA, New Technique of Activating Palladium Surface for Absorption of Hydrogen or Deuterium, Jpn. J. Appl. Phys. Vol. 32 (1993) pp. 5095-5096 Part 1, No. 11 A, November 1993.

AU

US Navy, Final Report Abstract Anomalous Effects in Deuterated Systems 9/1995

AV

Violante, Recent Results from Collaborative Research at ENEA-Frascati on Reaction Phenomena in Solids, TRANS. AMERICAN NUCLEAR SOCIETY, (2000)

AX

Will, TRITIUM GENERATION IN PALLADIUM CATHODES WITH HIGH DEUTERIUM LOADING, Transactions of Fusion Technology, Vol. 26, Number 4T, Part 2, December 1994: p. 209.

AY

WWII Japanese CF Rocket Plane, Cold Fusion Time Fall 1997

EXAMINER: Examiner: Palabrica, R.J.

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw through citation if not in conformance and not considered. Include copy of form with next communication to applicant

RECEIVED
OCT 24 2003
U.S. PATENT AND TRADEMARK OFFICE
3600
2003


FORM PTO-1440 (modified)
**LIST OF PATENTS AND
PUBLICATIONS FOR APPLICANT'S
INFORMATION DISCLOSURE
STATEMENT**

ATTY DOCKET NO.
480-Series I

SERIAL NO.
Serial no. 09/750,480

APPLICANT: Dr. Mitchell Swartz

FILING DATE:
Filed: 12/28/2000

GROUP
3641

OCT 28 2003

RECEIVED

GROUP 3600

U.S. PATENT DOCUMENTS

REFERENCE DESIGNATION		DATE	NAME	CLASS	SUB-CLASS	FILING DATE
EXAMINER INITIAL	DOCUMENT NUMBER					

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
AC						
AD						

OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)

AR			Petition for Writ of Certiorari Applicant vs. Q. Todd Dickinson 2/2003			
AS			Letter to Dagani from Dr. Miles, 5/20/98 regarding issues cited by Office			
AT			Letter to the Dr. Morrison, 7/23/96 regarding issues cited by Office			
AU			Letter to Dr. Miller, 9/24/97 regarding issues cited by Office			
AV			Letter to Mr. Murray, 3/7/98 regarding issues cited by Office			
AX						
AY						
AZ						

EXAMINER: Examiner: Palabrica, R.J.

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.



FORM PTO-1440 (modified)

**LIST OF PATENTS AND
PUBLICATIONS FOR
APPLICANT'S INFORMATION
DISCLOSURE STATEMENT**

ATTY DOCKET NO. 480-Series I SERIAL NO.
Serial no. 09/750,480

APPLICANT: Dr. Mitchell Swartz

OCT 28 2003

GROUP 3600
3641

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE

FOREIGN PATENT DOCUMENTS

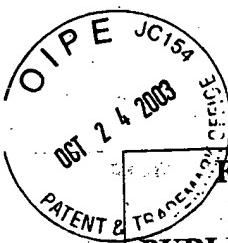
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION
AC						
AD						

OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)

AR						"Advanced Calculus for Applications, Second Edition" Francis Hildebrand (1976). pages 72 through 76, and also page 88
AS						"Theoretical Mechanics: An Introduction To Mathematical Physics" (1929) Joseph Ames and Francis Murnaghan. pages 124 to 139
AT						"Analytical Mechanics" (1962) Grant Fowles. pages 80 through 84 pages 43 through 45 pages 51 through 55.
AU						"Calculus and Analytical Geometry" (1951, and 1960) George Thomas Jr. pages 895 through 900
AV						
AX						
AY						
AZ						

EXAMINER: Examiner: Palabrida, R.J. DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.



FORM PTO-1440 (modified)
LIST OF PATENTS AND
PUBLICATIONS FOR APPLICANT'S
INFORMATION DISCLOSURE
STATEMENT

ATTY DOCKET NO. SERIAL NO.
 89-VIB (cont) Serial no. 09/750, 480

APPLICANT: Mitchell R. Swartz

FILING DATE:
 12/28/00

GROUP:

OCT 28 2003

GROUP 36001

RECEIVED

REFERENCE DESIGNATION			U.S. PATENT DOCUMENT				
EXAMINER INITIAL		DOCUMENT NUMBER	DAT	NAME	CLASS	SUB CLASS	FILED DATE
	AA						
	AB						
	AC						

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION
	AD						

OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)

	AE			Storms E; "A very unscientific ... take on other CF effects", COLD FUSION, 1, 1, 43 (1994)
	AF			Storms E; "Some characteristics of Heat Production", Trans Fusion Technology, vol26, 96-100 (1994)
	AG			Storms, Measurements of Excess Heat of a PF Cell, Fusion Tech, 23, 230 (1993)
	AF			Storms E, Talcott C; Fusion Technol. 17 (1990) 680.Electrolytic tritium production.
	AG			Swartz, M., 1996, "Possible Deuterium Production From Light water excess enthalpy experiments using Nickel Cathodes", Journal of New Energy, 3, 68-80 (1996)
	AH			Swartz, M., 1997, "Hydrogen Redistribution By Catastrophic Desorption In Select Transition Metals", Journal of New Energy, 1, 4, 26-33
	AI			Swartz, M., 1992, "Quasi-One-Dimensional Model of Electrochemical Loading of Isotopic Fuel into a Metal", Fusion Technology, 22, 2, 296-300
	AJ			Swartz, M., 1994, "Isotopic Fuel Loading Coupled To Reactions At An Electrode". Fusion Technology, 96, 4T, 74-77
	AK			Swartz, M., 1997, "Codeposition Of Palladium And Deuterium", Fusion Technology, 32, 126-130 (1997)

EXAMINER

Examiner: Palabrica, R.J

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.



FORM PTO-1440 (modified)
LIST OF PATENTS AND
PUBLICATIONS FOR APPLICANT'S
INFORMATION DISCLOSURE
STATEMENT

ATTY DOCKET NO. **SERIAL NO.**
 89-VIB (cont) Serial no. 09/750,480

APPLICANT: Mitchell R. Swartz

FILING DATE:
 12/28/00

GROUP:
 OCT 36418 2003

RECEIVED

GROUP 26001

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	DATE
AA						
AB						
AC						

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION
AD						

OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)

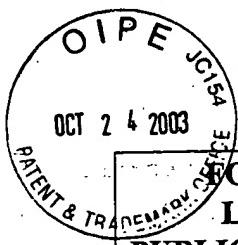
AE	Swartz, M., 1997, "Consistency of the Biphasic Nature of Excess Enthalpy in Solid State Anomalous Phenomena with the Quasi-1-Dimensional Model of Isotope Loading into a Material" <i>Fusion Technology</i> , 31, 63-74
AF	Swartz, M., 1997, "Phusons in Nuclear Reactions in Solids", <i>Fusion Technology</i> , 31, 228-236 (March 1997)
AG	Swartz, M., 1998, Improved Electrolytic Reactor Performance Using p-Notch System Operation and Gold Anodes, <i>Transactions of the American Nuclear Association</i> , Nashville, Tenn 1998 Meeting, (ISSN:0003-018X publisher LaGrange, IL) 78, 84-85
AF	Swartz, M., 1997, "Biphasic Behavior in Thermal Electrolytic Generators Using Nickel Cathodes". IECEC 1997 Proceedings, paper #97009
AG	P. Hagelstein, M. Swartz, Optics and Quantum Electronics, <i>MIT RLE Progress Report</i> , 139: 1, 1-13 (1997).
AH	Swartz, M., 1994, "A Method To Improve Algorithms Used To Detect Steady State Excess Enthalpy", <i>Transactions of Fusion Technology</i> , 26, 156-159
AI	Swartz, M., 1998, Patterns of Failure in Cold Fusion Experiments, Proceedings of the 33RD Intersociety Engineering Conference on Energy Conversion, IECEC-98-1229, Colorado Springs, CO, August 2-6, 1998
AJ	Swartz, M., 1994, "Generalized Isotopic Fuel Loading Equations" "Cold Fusion Source Book", International Symposium On Cold Fusion And Advanced Energy Systems". Ed. Hal Fox. Minsk Belarus
AK	Swartz, M., 1998, "Optimal Operating Point Characteristics of Nickel Light Water Experiments", <i>Proceedings of ICCF-7</i>

EXAMINER

DATE CONSIDERED

Examiner: Palabrica, R.J

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP-609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.



OCT 24 2003

FORM PTO-1440 (modified)
LIST OF PATENTS AND
PUBLICATIONS FOR APPLICANT'S
INFORMATION DISCLOSURE
STATEMENT

ATTY DOCKET NO. **SERIAL NO.**
89-VIB (cont) **Serial no09/750, 480**

APPLICANT: **Mitchell R. Swartz**

FILING DATE: **12/28/00** GROUP: **3641**

RECEIVED
OCT 28 2003
GROUP 360C

REFERENCE DESIGNATION			U.S. PATENT DOCUMENTS				
EXAMINER INITIAL		DOCUMENT NUMBER	DAT	NAME	CLASS	SUB CLASS	FILING DATE
	AA						
	AB						
	AC						

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION
	AD						

OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)

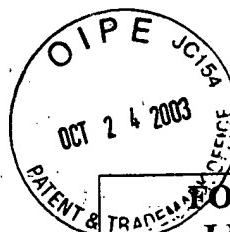
AE							Swartz, M, 1997, "Noise Measurement in cold fusion systems, Journal of New Energy, 2, 2, 56-61; Swartz, M, 1996, "Definitions Of Power Amplification Factor", <i>J New Energy</i> , 2, 54-59
AF							Swartz, M, 1996, "Definitions Of Power Amplification Factor", <i>J New Energy</i> , 2, 54-59.
AG							Swartz, M, 1997, "Explanations for Some Differences Between Reports of Excess Heat in Solid State Fusion Experiments", <i>J New Energy</i> , 2, 1, 60-65.
AF							Swartz, M, G. Verner, 1999, "Bremsstrahlung in Hot and Cold Fusion", <i>J New Energy</i> , (preprint confidentially shared)
AG							Swartz, M, 1993, "Some Lessons from Optical Examination of the PFC Phase-II Calorimetric Curves", Vol. 2, Proceedings: "Fourth International Conference on Cold Fusion", 19-1, op. cit.
AH							Swartz, M., 1996, "Relative Impact of Thermal Stratification of the Air Surrounding a Calorimeter", <i>Journal of New Energy</i> , 2, 219-221 (1996)
AI							Swartz, M, 1996, "Improved Calculations Involving Energy Release Using a Buoyancy Transport Correction", <i>Journal of New Energy</i> , 1, 3, 219-221
AJ							Swartz, M, 1996, "Potential for Positional Variation in Flow Calorimetric Systems", <i>Journal of New Energy</i> , 1, 126-130
AK							Swartz. M., 1994, "Catastrophic Active Medium Hypothesis of Cold Fusion" Vol. 4. "Proceedings: "Fourth International Conference on Cold Fusion" sponsored by EPRI and the Office of Naval Research

EXAMINER

Examiner: Palabrica, R.J

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.



FORM PTO-1440 (modified)
LIST OF PATENTS AND
PUBLICATIONS FOR APPLICANT'S
INFORMATION DISCLOSURE
STATEMENT

ATTY DOCKET NO. 89-VIB (cont) SERIAL NO.
 Serial no. 09/750, 480

APPLICANT: Mitchell R. Swartz

FILING DATE: 12/28/00 GROUP: 3641

REFERENCE DESIGNATION			U.S. PATENT DOCUMENTS				
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE
	AA						OCT 28 2003
	AB						
	AC						

FOREIGN PATENT DOCUMENTS

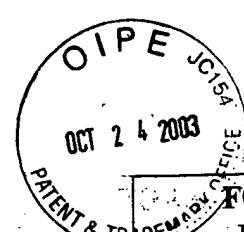
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION
	AD						

OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)

	AE						Science and Engineering of Hydrided Metals Series, Volume 2 - "Calorimetric Complications The Examination of the Phase-II Experiment and Other Select Calorimetric Issues, Ed. M. Swartz, JET Technology Press, Wellesley Hills, MA, ISBN 1-890550-02-7 (1999)
	AF						Swartz, M., 1997B, "Hydrogen Redistribution By Catastrophic Desorption In Select Transition Metals", <i>Journal of New Energy</i> , 1, 4, 26-33
	AG						Swartz, M., 2002, G. Verner, A. Frank, "The Impact of Heavy Water (D ₂ O) on Nickel-Light Water Cold Fusion Systems", <i>Proceedings of ICCF-9</i> , China
	AF						Szpak S, Mosier-Boss PA, JNE1,3, 54-67 (96) Nuclear and Thermal Events assoc with Codeposition.
	AG						Szpak S, et al; J. Electroanal. Chem. 309 (1991) 273. Electrochemical Charging of Pd rods
	AH						Szpak S, Mosier-Boss PA, Smith JJ, J. Electroanal. Chem. 302 (1991) 255. On the behavior of Pd deposited in the presence of evolving deuterium.
	AI						Tajima, H. Iyetomi, S. Ichimaru, "Influence of Attractive Interaction Between Deuterons in Pd on Nuclear Fusion", J. of Fusion Energy, 9, 437, (1990).
	AJ						Takahashi et al, "Windows of CNF and Pulsed Expts", Fusion Tech, 19, 380-390 (1991)
	AK						Tinsley, Solid State alters nuclear Behavior", Cold Fusion, 1, 1, 18 (1994)

EXAMINER	DATE CONSIDERED
Examiner: Palabrica, R.J	

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.



FORM PTO-1440 (modified) LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT				ATTY DOCKET NO.		SERIAL NO.	
				89-VIB (cont)		Serial no. 09/750, 480	
				APPLICANT: Mitchell R. Swartz			
				FILING DATE:	GROUP:		
				12/28/00	3641		
REFERENCE DESIGNATION				U.S. PATENT DOCUMENTS			
EXAMINER INITIAL		DOCUMENT NUMBER	DAT	NAME	CLASS	SUB CLASS	FILING STATE
	AA						
	AB						
	AC						
FOREIGN PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION
	AD						
OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)							
	AE			Verner "ABC Reports on CF Device", Cold Fusion Times, 4, 2, pp1-3, also 4,6,8 (1996)			
	AF			Wada, Nishizawa, "Nuclear Fusion in Solid", 28, 11, 2017-2020 (90)			
	AG			Will, K. Cedzynska, D.C. Linton, "Tritium Generation in Palladium Cathodes with High Deuterium Loading", Transactions of Fusion Technology, vol 26, Dec. 1994, pp 209-213			
	AF			Will FG, Cedzynska K, Linton DC; J. Electroanal. Chem. 360 (1993) 161, Reproducible tritium generation in electrochemical cells employing palladium cathodes with high deuterium loading			
	AG			Will, Final Report, NCFI			
	AH			Wolf et al, Neutron Emission and Tritium Content ..", J. Fusion Energy, 9, 2, 105-113 (1990)			
	AI			Yamaguchi, CF Induced by Out Diffusion, Jap Jour App Physics, 29, 666 (1990)			
	AJ			Zakowicz, Possible Resonant Mechanism of CF", Fusion Technology, 19, 170-173 (91)			
	AK			Zhu, Lee, Robinson, "Non Maxwell velocity Distributions in Inhomogeneous Materials, J Fusion Energy, 9, 4, 465 (90)			
EXAMINER Examiner: Palabrica, R.J.				DATE CONSIDERED			
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.							

RECEIVED
OCT 28 2003
GROUP 3600



FORM PTO-1440 (modified)
LIST OF PATENTS AND
PUBLICATIONS FOR APPLICANT'S
INFORMATION DISCLOSURE
STATEMENT

ATTY DOCKET NO. 89-VIB (cont)	SERIAL NO. Serial no.09/750, 480
APPLICANT: Mitchell R. Swartz	
FILING DATE: 12/28/00	GROUP: 3641

REFERENCE DESIGNATION			U.S. PATENT DOCUMENTS				
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CASS	SUB CLASS	FILING DATE	
AA							
AB							
AC							

FOREIGN PATENT DOCUMENTS							
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION	
AD							

OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)

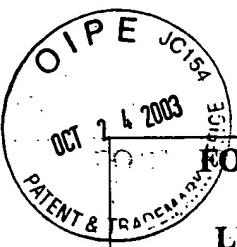
AE	Swartz, M., 1996, "Possible Deuterium Production From Light water excess enthalpy experiments using Nickel Cathodes", Journal of New Energy, 3, 68-80 (1996)
AF	Swartz, M., 1997, "Hydrogen Redistribution By Catastrophic Desorption In Select Transition Metals", Journal of New Energy, 1, 4, 26-33
AG	Swartz, M., 1992, "Quasi-One-Dimensional Model of Electrochemical Loading of Isotopic Fuel into a Metal", Fusion Technology, 22, 2, 296-300
AF	Swartz, M., 1994, "Isotopic Fuel Loading Coupled To Reactions At An Electrode". Fusion Technology, 96, 4T, 74-77
AG	Swartz, M., 1997, "Codeposition Of Palladium And Deuterium", Fusion Technology, 32, 126-130 (1997)
AH	Swartz, M., 1997, "Consistency of the Biphasic Nature of Excess Enthalpy in Solid State Anomalous Phenomena with the Quasi-1-Dimensional Model of Isotope Loading into a Material" Fusion Technology, 31, 63-74
AI	Swartz, M., 1997, "Phusons in Nuclear Reactions in Solids", Fusion Technology, 31, 228-236 (March 1997)
AJ	Swartz, M, 1998, Improved Electrolytic Reactor PerformanceUsing π -Notch System Operation and Gold Anodes, Transactions of the American Nuclear Association, Nashville, Tenn 1998 Meeting, (ISSN:0003-018X publisher LaGrange, Ill) 78, 84-85
AK	Swartz, M., 1997, "Biphasic Behavior in Thermal Electrolytic Generators Using Nickel Cathodes". IECEC 1997 Proceedings, paper #97009

EXAMINER Examiner: Palabrica, R.J.

DATE CONSIDERED

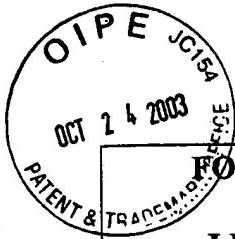
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.

RECEIVED
OCT 28 2003
GROUP 3600



FORM PTO-1440 (modified)					ATTY DOCKET NO. 89-VIB (cont)	SERIAL NO. Serial no. 09/750,480		
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT					APPLICANT: Mitchell R. Swartz			
					FILING DATE: 12/28/00	GROUP: 800		
REFERENCE DESIGNATION			U.S. PATENT DOCUMENTS					
EXAMINER INITIAL		DOCUMENT NUMBER	DAT	NAME		CLASS	SUB CLASS	TRANSLATION
	AA							
	AB							
	AC							
FOREIGN PATENT DOCUMENTS								
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY		CLASS	SUB CLASS	TRANSLATION
	AD							
OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)								
	AE			P. Hagelstein, M. Swartz, Optics and Quantum Electronics, <i>MIT RLE Progress Report</i> , 139: 1, 1-13 (1997).				
	AF			Swartz, M, 1994, "A Method To Improve Algorithms Used To Detect Steady State Excess Enthalpy", <i>Transactions of Fusion Technology</i> , 26, 156-159				
	AG			Swartz, M., 1998, Patterns of Failure in Cold Fusion Experiments, Proceedings of the 33RD Intersociety Engineering Conference on Energy Conversion, IECEC-98-I229, Colorado Springs, CO, August 2-6, 1998				
	AF			Swartz, M., 1994, "Generalized Isotopic Fuel Loading Equations" "Cold Fusion Source Book", International Symposium On Cold Fusion And Advanced Energy Systems". Ed. Hal Fox. Minsk Belarus				
	AG			Swartz, M, 1998, "Optimal Operating Point Characteristics of Nickel Light Water Experiments", <i>Proceedings of ICCF-7</i>				
	AH			Swartz, M, 1997, "Noise Measurement in cold fusion systems, Journal of New Energy, 2, 2, 56-61; Swartz, M, 1996, "Definitions Of Power Amplification Factor", <i>J New Energy</i> , 2, 54-59				
	AI			Swartz, M, 1996, "Definitions Of Power Amplification Factor", <i>J New Energy</i> , 2, 54-59.				
	AJ			Swartz, M, 1997, "Explanations for Some Differences Between Reports of Excess Heat in Solid State Fusion Experiments", <i>J New Energy</i> , 2, 1, 60-65.				
	AK			Swartz, M, G. Verner, 1999, "Bremsstrahlung in Hot and Cold Fusion", <i>J New Energy</i> , (preprint confidentially shared)				
EXAMINER				DATE CONSIDERED				
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.								

RECEIVED
NOV 8 2003
GROUP 800



FORM PTO-1440 (modified)				ATTY DOCKET NO. 89-VIB (cont)	SERIAL NO. Serial no. 09/750, 480		
				APPLICANT: Mitchell R. Swartz			
				FILING DATE: 12/28/00	RECEIVED OCT 28 2003 GROUP 3600		
REFERENCE DESIGNATION			U.S. PATENT DOCUMENTS				
EXAMINER INITIAL		DOCUMENT NUMBER	DAT	NAME	CLASS	SUB CLASS	FILED DATE
	AA						
	AB						
	AC						
FOREIGN PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION
	AD						
OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)							
	AE			Swartz, M, 1993, "Some Lessons from Optical Examination of the IFC Phase-II Calorimetric Curves", Vol. 2, Proceedings: "Fourth International Conference on Cold Fusion", 19-1, op. cit.			
	AF			Swartz, M., 1996, "Relative Impact of Thermal Stratification of the Air Surrounding a Calorimeter", Journal of New Energy, 2, 219-221 (1996)			
	AG			Swartz, M, 1996, "Improved Calculations Involving Energy Release Using a Buoyancy Transport Correction", Journal of New Energy, 1, 3, 219-221			
	AF			Swartz, M, 1996, "Potential for Positional Variation in Flow Calorimetric Systems", Journal of New Energy, 1, 126-130			
	AG			Swartz. M., 1994, "Catastrophic Active Medium Hypothesis of Cold Fusion" Vol. 4. "Proceedings: "Fourth International Conference on Cold Fusion" sponsored by EPRI and the Office of Naval Research			
	AH			Dr. Michael McKubre, SRI, at his closing "Summary During ICCF-7", <i>Infinite Energy</i> , 4, 20 , 34-35, (1998)			
	AI			Science and Engineering of Hydrided Metals Series, Volume 2 - "Calorimetric ComplicationsThe Examination of the Phase-II Experiment and Other Select Calorimetric Issues, Ed. M: Swartz, JET Technology Press, Wellesley Hills, MA, ISBN 1-890550-02-7 (1999)			
	AJ						
	AK						
EXAMINER				DATE CONSIDERED			
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.							



FORM PTO-1440 (modified)				ATTY DOCKET NO. 480-Series I	SERIAL NO. Serial no. 09/750,480		
				APPLICANT: Dr. Mitchell Swanson			
				FILING DATE: Filed: 12/28/2000	GROUP G61		
				U.S. PATENT DOCUMENTS			
REFERENCE DESIGNATION	EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE
FOREIGN PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION
	AC						
	AD						
OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)							
AR				"Advanced Calculus for Applications, Second Edition" Francis Hildebrand (1976). pages 72 through 76, and also page 88			
AS				"Theoretical Mechanics: An Introduction To Mathematical Physics" (1929) Joseph Ames and Francis Murnaghan. pages 124 to 139			
AT				"Analytical Mechanics" (1962) Grant Fowles. pages 80 through 84 pages 43 through 45 pages 51 through 55.			
AU				"Calculus and Analytical Geometry" (1951, and 1960) George Thomas Jr. pages 895 through 900			
AV							
AX							
AY							
AZ							
EXAMINER: Examiner: Palabrica, R.J.	DATE CONSIDERED						
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.							

RECEIVED
OCT 28 2003
GSA
OLD 3600'